

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

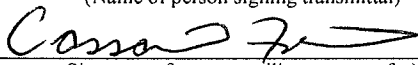
Applicant : Gary KATZ and Greg MAYNARD  
Application : 10/771,993  
Filed : February 3, 2004  
For : AUTOMATED EXCHANGE FOR TRADING OF  
COMPLEX ORDERS  
Group Art Number : 3691  
Examiner : Kellie Campbell

745 Fifth Avenue  
New York, NY 10151

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January 28, 2010  
Date of Signature

**AMENDMENT**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

This Amendment is submitted with a Request for Continued Examination (RCE) in  
response to the Final Office Action in the above-captioned application, dated November 4, 2009.

In addition, an Information Disclosure Statement (IDS) is submitted contemporaneous  
with this Amendment. The materials identified in that IDS were previously presented in an IDS

submitted on December 30, 2009, which did not include a statement under 37 C.F.R. 1.97(e) required for submission after issuance of a Final Office Action. Applicants respectfully request that the Examiner consider these references now, as they are filed prior to the first action following an RCE under 37 C.F.R. 1.97(b)(4).

**A listing of the Claims** begins at page 2.

**Applicants' Remarks** begin at page 8.

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